

12/31/01



36784 U.S. PTO

Please type a plus sign (+) inside this box →



PTO/SB/05 (08-00) (modified)

Approved for use through 9/30/2001, OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

<b>NEW UTILITY PATENT APPLICATION TRANSMITTAL</b> <i>(only for new nonprovisional applications under 37 CFR 1.53(b))</i>	Attorney Docket Number	18590-06192
	First Named Inventor	Dennis W. Vance
	Title	LIGHT TRANSMISSIVE FILTER HAVING ANISOTROPIC PROPERTIES AND METHOD OF FABRICATION
	Express Mail Label No.	EL566299629US

## APPLICATION ELEMENTS

1. ☒ Fee Transmittal Form (in duplicate)
2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27
3. ☒ Specification Total Pages **27**  
*(preferred arrangement set forth below)*
  - Descriptive Title of the Invention
  - Cross Reference(s) to Related Case(s)
  - Statement Regarding Fed sponsored R & D
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawing(s)
  - Detailed Description
  - Claim or Claims
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) Total Sheets **4**
5. Oath or Declaration
  - a. ☒ New Declaration Total Pages **2**
    - ☒ Executed (original or copy)
  - b. ☐ Copy from a prior application (37 CFR 1.63(d))  
*(for continuation/divisional with Box 18 completed)*
    - i. ☐ DELETION OF INVENTOR(S)  
 Signed statement attached deleting inventor(s)  
 named in the prior application, see 37 CFR  
 1.63(d)(2) and 1.33(b).
6. ☒ Application Data Sheet. See 37 CFR 1.76

## ACCOMPANYING APPLICATION PARTS

7. ☒ Assignment Papers (cover sheet & document(s))
8. ☐ Certified Copy of Priority Document(s) *(if foreign priority is claimed)*
9. ☒ Power of Attorney or Authorization of Agent
10. ☐ 37 CFR 3.73(b) Statement
11. ☒ Preliminary Amendment
12. ☐ Information Disclosure Statement & PTO-1449  
☐ Copies of IDS Citation(s)
13. ☒ Nonpublication Request under 35 U.S.C. 122  
 (b)(2)(B)(i). Applicant must attach form  
 PTO/SB/35 or its equivalent
14. ☒ Return Postcard
15. ☐
16. ☐
17. ☐

## ADDRESS TO:

Box Patent Application  
 Commissioner for Patents  
 Washington, D.C. 20231

18. If a **CONTINUING APPLICATION**, check appropriate box and supply the requisite information below and in a preliminary amendment or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No: \_\_\_\_/\_\_\_\_

Prior application information: Examiner: \_\_\_\_\_ Group/Art Unit: \_\_\_\_\_

**For CONTINUATION OR DIVISIONAL APPS only:** The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuing or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

☒ Customer Number and Bar Code  
 Label



00758

Name (Print/Type)	Albert C. Smith	Registration No. (Attorney/Agent)	20,355
Signature	<i>Albert C. Smith</i>	Date	12/31/01

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

0002/PTO(modified) Rev. 10/2001		U.S. Department of Commerce Patent and Trademark Office		<b>Complete if Known</b>	
<b>FEE TRANSMITTAL</b>				Application Number	
<b>TOTAL AMOUNT OF PAYMENT</b>				Filing Date	
Subtotal (1) + Subtotal (2) + Subtotal (3) =				First Named Inventor	
<b>(\$ 410.00)</b>				Group Art Unit	
				Examiner Name	
				Attorney Docket Number	
				18590-06192	

  

<b>METHOD OF PAYMENT</b>		<b>FEE CALCULATION (continued)</b>																																																																																													
<b>1. The Commissioner is hereby authorized to:</b>  <input type="checkbox"/> Charge the indicated fees to the below mentioned deposit account.  <input checked="" type="checkbox"/> Charge any additional fee required under 37 CFR 1.16 - 1.21 or credit any over payments to the below mentioned deposit account.†  <input type="checkbox"/> Applicant claims small entity status See 37 CFR 1.27  Deposit Account Number: 19-2555 Deposit Account Name: FENWICK & WEST LLP A Duplicate Copy of this authorization is attached  <b>2. <input checked="" type="checkbox"/> Payment Enclosed:</b> <input checked="" type="checkbox"/> Check <input type="checkbox"/> Credit Card <input type="checkbox"/> Other		<b>3. ADDITIONAL FEES</b> <table border="1" style="width: 100%; border-collapse: collapse;"><thead><tr><th>Large Entity Fee Code/Fee</th><th>Small Entity Fee Code/Fee</th><th>Fee Description</th><th>Fee Due</th></tr></thead><tbody><tr><td>105/\$130</td><td>205/\$85</td><td>Surcharge - late filing fee or oath</td><td></td></tr><tr><td>127/\$50</td><td>227/\$25</td><td>Surcharge-late provisional filing fee or cover sheet</td><td></td></tr><tr><td>147/\$2,520</td><td>147/\$2,520</td><td>For filing a request for reexamination</td><td></td></tr><tr><td>115/\$110</td><td>215/\$55</td><td>Extension for response within first month†</td><td></td></tr><tr><td>116/\$400</td><td>216/\$200</td><td>Extension for response within second month†</td><td></td></tr><tr><td>117/\$920</td><td>217/\$480</td><td>Extension for response within third month†</td><td></td></tr><tr><td>118/\$1,440</td><td>218/\$720</td><td>Extension for response within fourth month†</td><td></td></tr><tr><td>128/\$1,960</td><td>228/\$980</td><td>Extension for response within fifth month†</td><td></td></tr><tr><td>119/\$320</td><td>219/\$180</td><td>Notice of Appeal</td><td></td></tr><tr><td>141/\$1,280</td><td>241/\$640</td><td>Petition to revive unintentionally abandoned application</td><td></td></tr><tr><td>142/\$1,280</td><td>242/\$640</td><td>Utility Issue Fee (Or Reissue)</td><td></td></tr><tr><td>143/\$460</td><td>243/\$230</td><td>Design Issue Fee</td><td></td></tr><tr><td>122/\$130</td><td>122/\$130</td><td>Petitions to the Commissioner</td><td></td></tr><tr><td>126/\$180</td><td>126/\$180</td><td>Submission of Information Disclosure Statement</td><td></td></tr><tr><td>179/\$740</td><td>279/\$370</td><td>Request for Continued Examination (RCE)</td><td></td></tr><tr><td>581/\$40</td><td>581/\$40</td><td>Recording each patent assignment per property (times number of properties)</td><td>40</td></tr><tr><td>146/\$740</td><td>246/\$370</td><td>Filing a submission after final rejection (37 CFR 1.129(a))</td><td></td></tr><tr><td>149/\$740</td><td>249/\$370</td><td>For each additional invention to be examined (37 CFR 1.129(b))</td><td></td></tr><tr><td colspan="2"></td><td>Other fee (specify):</td><td></td></tr><tr><td colspan="2"></td><td>Other fee (specify):</td><td></td></tr><tr><td colspan="3" style="text-align: right;"><b>SUBTOTAL (3)</b></td><td><b>(\$ 40.00)</b></td></tr></tbody></table>				Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description	Fee Due	105/\$130	205/\$85	Surcharge - late filing fee or oath		127/\$50	227/\$25	Surcharge-late provisional filing fee or cover sheet		147/\$2,520	147/\$2,520	For filing a request for reexamination		115/\$110	215/\$55	Extension for response within first month†		116/\$400	216/\$200	Extension for response within second month†		117/\$920	217/\$480	Extension for response within third month†		118/\$1,440	218/\$720	Extension for response within fourth month†		128/\$1,960	228/\$980	Extension for response within fifth month†		119/\$320	219/\$180	Notice of Appeal		141/\$1,280	241/\$640	Petition to revive unintentionally abandoned application		142/\$1,280	242/\$640	Utility Issue Fee (Or Reissue)		143/\$460	243/\$230	Design Issue Fee		122/\$130	122/\$130	Petitions to the Commissioner		126/\$180	126/\$180	Submission of Information Disclosure Statement		179/\$740	279/\$370	Request for Continued Examination (RCE)		581/\$40	581/\$40	Recording each patent assignment per property (times number of properties)	40	146/\$740	246/\$370	Filing a submission after final rejection (37 CFR 1.129(a))		149/\$740	249/\$370	For each additional invention to be examined (37 CFR 1.129(b))				Other fee (specify):				Other fee (specify):		<b>SUBTOTAL (3)</b>			<b>(\$ 40.00)</b>		
Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description	Fee Due																																																																																												
105/\$130	205/\$85	Surcharge - late filing fee or oath																																																																																													
127/\$50	227/\$25	Surcharge-late provisional filing fee or cover sheet																																																																																													
147/\$2,520	147/\$2,520	For filing a request for reexamination																																																																																													
115/\$110	215/\$55	Extension for response within first month†																																																																																													
116/\$400	216/\$200	Extension for response within second month†																																																																																													
117/\$920	217/\$480	Extension for response within third month†																																																																																													
118/\$1,440	218/\$720	Extension for response within fourth month†																																																																																													
128/\$1,960	228/\$980	Extension for response within fifth month†																																																																																													
119/\$320	219/\$180	Notice of Appeal																																																																																													
141/\$1,280	241/\$640	Petition to revive unintentionally abandoned application																																																																																													
142/\$1,280	242/\$640	Utility Issue Fee (Or Reissue)																																																																																													
143/\$460	243/\$230	Design Issue Fee																																																																																													
122/\$130	122/\$130	Petitions to the Commissioner																																																																																													
126/\$180	126/\$180	Submission of Information Disclosure Statement																																																																																													
179/\$740	279/\$370	Request for Continued Examination (RCE)																																																																																													
581/\$40	581/\$40	Recording each patent assignment per property (times number of properties)	40																																																																																												
146/\$740	246/\$370	Filing a submission after final rejection (37 CFR 1.129(a))																																																																																													
149/\$740	249/\$370	For each additional invention to be examined (37 CFR 1.129(b))																																																																																													
		Other fee (specify):																																																																																													
		Other fee (specify):																																																																																													
<b>SUBTOTAL (3)</b>			<b>(\$ 40.00)</b>																																																																																												
<b>1. FILING FEE</b> <table border="1" style="width: 100%; border-collapse: collapse;"><thead><tr><th>Large Entity Fee Code/Fee</th><th>Small Entity Fee Code/Fee</th><th>Fee Description</th><th>Fee Due</th></tr></thead><tbody><tr><td>101/\$740</td><td>201/\$370</td><td>Utility Filing</td><td>370</td></tr><tr><td>106/\$330</td><td>206/\$165</td><td>Design Filing</td><td></td></tr><tr><td>108/\$740</td><td>208/\$370</td><td>Reissue</td><td></td></tr><tr><td>114/\$160</td><td>214/\$80</td><td>Provisional Filing</td><td></td></tr><tr><td colspan="3" style="text-align: right;"><b>SUBTOTAL (1)</b></td><td><b>(\$ 370.00)</b></td></tr></tbody></table> <b>2. CLAIMS</b> <table border="1" style="width: 100%; border-collapse: collapse;"><thead><tr><th>Large Entity Fee Code/Fee</th><th>Small Entity Fee Code/Fee</th><th>Fee Description</th></tr></thead><tbody><tr><td>103/\$18</td><td>203/\$9</td><td>Claims in excess of 20</td></tr><tr><td>102/\$84</td><td>202/\$42</td><td>Independent claims in excess of 3</td></tr><tr><td>104/\$280</td><td>204/\$140</td><td>Multiple dependent claim</td></tr><tr><td>109/\$84</td><td>209/\$42</td><td>Reissue independent claims over original patent</td></tr><tr><td>110/\$18</td><td>210/\$9</td><td>Reissue claims in excess of 20 and over original patent</td></tr></tbody></table>		Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description	Fee Due	101/\$740	201/\$370	Utility Filing	370	106/\$330	206/\$165	Design Filing		108/\$740	208/\$370	Reissue		114/\$160	214/\$80	Provisional Filing		<b>SUBTOTAL (1)</b>			<b>(\$ 370.00)</b>	Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description	103/\$18	203/\$9	Claims in excess of 20	102/\$84	202/\$42	Independent claims in excess of 3	104/\$280	204/\$140	Multiple dependent claim	109/\$84	209/\$42	Reissue independent claims over original patent	110/\$18	210/\$9	Reissue claims in excess of 20 and over original patent	<table border="1" style="width: 100%; border-collapse: collapse;"><thead><tr><th colspan="2">(Col. 1)</th><th colspan="2">(Col. 2)</th><th colspan="2">(Col. 3)</th><th colspan="2">Fee Due</th></tr><tr><th>For</th><th>No. of Existing Claims</th><th>Highest No. Previously Paid For</th><th></th><th>Extra**</th><th>Fee</th><th></th><th></th></tr></thead><tbody><tr><td>TOTAL</td><td>16</td><td>20 or 0</td><td>minus*</td><td>0</td><td>x</td><td></td><td>0</td></tr><tr><td>INDEP</td><td>3</td><td>3 or 0</td><td>minus*</td><td>0</td><td>x</td><td></td><td>0</td></tr><tr><td colspan="8">[ ] First presentation of multiple dependent claim</td></tr><tr><td colspan="7" style="text-align: right;"><b>SUBTOTAL (2)</b></td><td><b>(\$ 0)</b></td></tr></tbody></table> <p style="font-size: small;">* Subtract the greater number of Col. 2 ** If the difference between Col. 1 and Col. 2 is less than zero, then enter "0" in Col. 3</p>				(Col. 1)		(Col. 2)		(Col. 3)		Fee Due		For	No. of Existing Claims	Highest No. Previously Paid For		Extra**	Fee			TOTAL	16	20 or 0	minus*	0	x		0	INDEP	3	3 or 0	minus*	0	x		0	[ ] First presentation of multiple dependent claim								<b>SUBTOTAL (2)</b>							<b>(\$ 0)</b>
Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description	Fee Due																																																																																												
101/\$740	201/\$370	Utility Filing	370																																																																																												
106/\$330	206/\$165	Design Filing																																																																																													
108/\$740	208/\$370	Reissue																																																																																													
114/\$160	214/\$80	Provisional Filing																																																																																													
<b>SUBTOTAL (1)</b>			<b>(\$ 370.00)</b>																																																																																												
Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description																																																																																													
103/\$18	203/\$9	Claims in excess of 20																																																																																													
102/\$84	202/\$42	Independent claims in excess of 3																																																																																													
104/\$280	204/\$140	Multiple dependent claim																																																																																													
109/\$84	209/\$42	Reissue independent claims over original patent																																																																																													
110/\$18	210/\$9	Reissue claims in excess of 20 and over original patent																																																																																													
(Col. 1)		(Col. 2)		(Col. 3)		Fee Due																																																																																									
For	No. of Existing Claims	Highest No. Previously Paid For		Extra**	Fee																																																																																										
TOTAL	16	20 or 0	minus*	0	x		0																																																																																								
INDEP	3	3 or 0	minus*	0	x		0																																																																																								
[ ] First presentation of multiple dependent claim																																																																																															
<b>SUBTOTAL (2)</b>							<b>(\$ 0)</b>																																																																																								
<b>SUBMITTED BY</b> Typed or Printed Name <b>Albert C. Smith</b>  Signature <i>Albert C. Smith</i>		<b>Complete (if applicable)</b> Reg. Number <b>20,355</b>  Date <b>12/31/01</b>																																																																																													

† Request for Extension of Time per 37 CFR 1.136 (a)(3) made hereby

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>NONPUBLICATION REQUEST UNDER 35 U.S.C. 122(b)(2)(B)(i)</b>	First Named Inventor		Dennis W. Vance
	Title	LIGHT TRANSMISSIVE FILTER HAVING ANISOTROPIC PROPERTIES AND METHOD OF FABRICATION	
	Atty Docket Number		18590-06192

Je932 U.S. PTO  
10/03/01  
12/31/01

I hereby certify that the invention disclosed in the attached application **has not been and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

12/31/01

Date

*Albert C. Smith*

Signature

**Albert C. Smith, Reg. No. 20,355**  
Typed or printed name/Registration Number

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**

**Burden Hour Statement:** This collection of information is required by 37 CFR 1.213(a). The information is used by the public to request that an application not be published under 35 U.S.C. 122(b) (and the PTO to process that request). Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This form is estimated to take 6 minutes to complete. This time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.**